

DTOS Rec'd PCT/PTO 29 JUL 2002

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| U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE   |   | ATTORNEY'S DOCKET NUMBER<br>01013.0015.PCUS00 |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371  |   | U.S. APPLICATION NO. (if known)<br>10/048,094 |
| INTERNATIONAL APPLICATION NO.<br>PCT/EP00/07149   | INTERNATIONAL FILING DATE<br>26 July 2000 | PRIORITY DATE CLAIMED<br>29 July 1999         |
| TITLE OF INVENTION <b>Method for power and time optimization of the Travel Mode in a Vehicle/Train</b>  |   |   |
| APPLICANT(S) FOR DO/EO/US <b>Rudiger Franke; Peter Terwiesch; Markus Meyer; Karl-Herman Ketteler (inventors)</b>  |   |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |   |   |
| <ol style="list-style-type: none"> <li><input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li><input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li><input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li><input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li><input type="checkbox"/> has been communicated by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li><input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li><input type="checkbox"/> is attached hereto.</li> <li><input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).             <ol style="list-style-type: none"> <li><input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li><input type="checkbox"/> have been communicated by the International Bureau.</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input checked="" type="checkbox"/> An Oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li><input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> |   |   |
| Items 11 to 20 below concern document(s) or information included:   |   |   |
| <ol style="list-style-type: none"> <li><input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 36 CFR 3.28 and 3.31 is included.</li> <li><input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li><input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li><input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li><input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li><input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li><input checked="" type="checkbox"/> Other items or information.</li> </ol>  |   |   |
| Copy of Notification of Missing Requirements; Petition for Extension of Time  |   |   |

|   |                     |  |   |   |              |
|---|---------------------|--|---|---|--------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>10/048,094</b>  |                     | INTERNATIONAL APPLICATION NO.<br><b>PCT/EP00/07149</b> |   | ATTORNEY'S DOCKET NO.<br><b>01013.0015.PCUS00</b> |              |
| 21. <input checked="" type="checkbox"/> The following fees are submitted:   |                     |  |   | <b>CALCULATIONS PTO USE ONLY</b>                  |              |
| <b>BASIC NATIONAL FEE (37 CFR 1.492 (A) (1) - (5))</b> <span style="float: right;">\$</span><br>Neither international preliminary examination fee (37 CFR 1.482)<br>nor international search fee (37 CFR 1.443(a)(2) paid to USPTO<br>and International Search Report not prepared by the EPO or JPO ..... <b>1000.00</b> |                     |  |   |   |              |
| International preliminary examination fee (37 CFR 1.482) not paid to<br>USPTO but International Search Report prepared by the EPO or JPO ..... <b>860.00</b>  |                     |  |   |   |              |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO<br>but international search fee (37 CFR 1.443(a)(2) paid to USPTO ..... <b>710.00</b>  |                     |  |   |   |              |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>but all claims did not satisfy provisions of PCT Article 33 (1)-(4) ..... <b>690.00</b>   |                     |  |   |   |              |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>but all claims satisfied provisions of PCT Article 33 (1)-(4) ..... <b>100.00</b>   |                     |  |   |   |              |
| <b>ENTER APPROPRIATE BASIC FEE AMOUNT -</b>   |                     |  |   | <b>\$</b>   |              |
| Surcharge of \$130.00 for furnishing the Oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30<br>months from the earliest claimed priority date (37 CFR 1.492(e)).   |                     |  |   | <b>\$130</b>                                      |              |
| <b>CLAIMS</b>   | <b>NUMBER FILED</b> | <b>NUMBER EXTRA</b>                                    | <b>RATE</b>   | <b>\$</b>   |              |
| Total claims  | - 20 =              |  | X \$ 18.00  | <b>\$</b>   |              |
| Independent claims  | - 3 =               |  | X \$ 80.00  | <b>\$</b>   |              |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |                     |  | X \$270.00  | <b>\$</b>   |              |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |                     |  |   | <b>\$</b>   |              |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above<br>are reduced by 1/2.   |                     |  |   | <b>\$</b>   |              |
| <b>SUBTOTAL -</b>   |                     |  |   | <b>\$</b>   |              |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30<br>months from the earliest claimed priority date (37 CFR 1.492(f)).   |                     |  |   | <b>\$</b>   |              |
| <b>TOTAL NATIONAL FEE -</b>   |                     |  |   | <b>\$</b>   |              |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be<br>accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +   |                     |  |   | <b>\$</b>   |              |
| <b>TOTAL FEES ENCLOSED =</b>  |                     |  |   | <b>\$130</b>                                      |              |
|   |                     |  |   | Amount to be<br>refunded:                         | <b>\$</b>    |
|   |                     |  |   | charged:  | <b>\$130</b> |
| a. <input type="checkbox"/> A check in the amount of \$                      to cover the above fees is enclosed.   |                     |  |   |   |              |
| b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 08-3038 referencing the docket number shown above in the amount of<br>\$130 to cover the above fees.  |                     |  |   |   |              |
| c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any<br>overpayment to Deposit Account No. 08-3038 referencing docket number shown above. A duplicate copy of<br>this sheet is enclosed.                                       |                     |  |   |   |              |
| <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37<br>CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.  |                     |  |   |   |              |
| <b>SEND ALL CORRESPONDENCE TO:</b>  |                     |  |   |   |              |
| Howrey Simon Arnold & White<br>CityPoint<br>1 Ropemaker Street<br>London EC2Y 9HS<br>United Kingdom   |                     |  | SIGNATURE: <u>David P. Owen</u><br>NAME: <u>David P. Owen</u><br>REGISTRATION NUMBER: <u>43,344</u><br>TELEPHONE NUMBER: <u>011 44 20 7628 3303</u> |   |              |

07/08/2002 GFREY1 00000157 083038 10048094

 01 03454 130.00 CH  
 02 03050 280.00 CH



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner of Patents, Box 101  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
 www.uspto.gov

|                             |                       |                  |
|-----------------------------|-----------------------|------------------|
| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 10/048,094                  | Franke Rudiger        | LSP-0017         |

Steven B Samuels  
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APR 01 2002

Woodcock Washburn Kurtz  
 Intellectual & Trade Law

INTERNATIONAL APPLICATION NO.

PCT/EP00/07149

I.A. FILING DATE

07/26/2000

PRIORITY DATE

07/29/1999

CONFIRMATION NO. 1600

371 FORMALITIES LETTER



\*OC000000007716290\*

Date Mailed: 03/27/2002

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Request for Immediate Examination

RECEIVED

APR 01 2002

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 WWKMN

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Additionally the following defects have been observed:

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- Additional claim fees of **\$280** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is **\$410** for a Large Entity:

- **\$130** Late oath or declaration Surcharge.
- Total additional claim fee(s) for this application is **\$280**
  - **\$280** for multiple dependant claims surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

PATRICIA A BOOKER

Telephone: (703) 305.3738

**PART 1 - ATTORNEY/APPLICANT COPY**

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/048,094                  | PCT/EP00/07149                | LSP-0017         |